



Agency Records Disposition Schedule

Department: Department of Insurance, Financial Institutions and
Professional Registration
Division: Professional Registration

Section: Real Estate Commission
Sub-Section:

TITLE: Applications Withdrawn or Denied

CUTOFF: End of State Fiscal Year in which First License
Application Submitted

DESCRIPTION: Applications that were withdrawn or denied licensure due to convictions,
or prior discipline. These records are used for reference if the person
applies for licensure again in the future.

RETENTION: Years: 75 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 23279

SERIES STATUS: Approved

APPROVAL DATE: 9/8/2010

TITLE: Audit Assignments and Reassignments

CUTOFF: End of State Fiscal Year

DESCRIPTION: Random audit assignments/reassignments, to be conducted, generated
via licensing system and reassignments of audits due to resignation of an
examiner.

RETENTION: Years: 5 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 23141

SERIES STATUS: Approved

APPROVAL DATE: 9/8/2010

TITLE: Audit Quarterly Reports

CUTOFF: End of State Fiscal Year

DESCRIPTION: Record includes quarterly audit reports outlining outstanding audits. Files
are used to track pending audits that need to still be conducted and
reviewed by the commission.

RETENTION: Years: 5 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 23142

SERIES STATUS: Approved

APPROVAL DATE: 9/8/2010



Agency Records Disposition Schedule

Department: Department of Insurance, Financial Institutions and
Professional Registration
Division: Professional Registration

Section: Real Estate Commission
Sub-Section:

TITLE: Complaint Files		CUTOFF: End of State Fiscal Year	
DESCRIPTION: Complaints filed by consumers against real estate licensees. These are kept for the Commission's review.		RETENTION: Years: 5 Months: 0 Days: 0	
NOTES:		DISPOSITION ACTION: Destroy	
SERIES: 3569	SERIES STATUS: Approved	APPROVAL DATE:	9/8/2010
TITLE: Compliance Audit Files and Audit-Related Correspondence		CUTOFF: End of State Fiscal Year	
DESCRIPTION: Compliance audits conducted by the Missouri Real Estate Commission examiners of brokers' and entities' brokerage records and escrow accounts.		RETENTION: Years: 10 Months: 0 Days: 0	
NOTES:		DISPOSITION ACTION: Destroy	
SERIES: 3575	SERIES STATUS: Approved	APPROVAL DATE:	9/8/2010
TITLE: Consent to Examine and Audit Escrow or Trust Account Forms		CUTOFF: End of State Fiscal year in which first consent to examine form submitted	
DESCRIPTION: Completed consent forms that register account information and authorize banking institutions to allow Missouri Real Estate Commission staff to audit their escrow accounts.		RETENTION: Years: 1 Months: 0 Days: 0	
NOTES: Records are transfered to license files, record series 3562.		DISPOSITION ACTION: Transfer to appropriate file	
SERIES: 3576	SERIES STATUS: Approved	APPROVAL DATE:	9/8/2010



Agency Records Disposition Schedule

Department: Department of Insurance, Financial Institutions and
Professional Registration
Division: Professional Registration

Section: Real Estate Commission
Sub-Section:

TITLE: Continuing Education Audits

CUTOFF: EOSFY

DESCRIPTION: Audits conducted after biennial renewal period.

RETENTION: Years: 3 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 17671

SERIES STATUS: Approved

APPROVAL DATE:

9/8/2010

TITLE: Continuing Education Records

CUTOFF: End of State Fiscal Year

DESCRIPTION: All licensees' continuing education course information needed to renew their license.

RETENTION: Years: 5 Months: 0 Days: 0

NOTES: Records maintained in agency database.

DISPOSITION ACTION: Destroy

SERIES: 23191

SERIES STATUS: Approved

APPROVAL DATE:

9/8/2010

TITLE: Continuing Education Rosters

CUTOFF: End of State Fiscal Year

DESCRIPTION: Rosters that are required to be provided by approved education providers at the completion of each course.

RETENTION: Years: 5 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 23192

SERIES STATUS: Approved

APPROVAL DATE:

9/8/2010



Agency Records Disposition Schedule

Department: Department of Insurance, Financial Institutions and
Professional Registration
Division: Professional Registration

Section: Real Estate Commission
Sub-Section:

TITLE: Continuing Education School Files

CUTOFF: End of State Fiscal Year

DESCRIPTION: Files contain, but are not limited to, initial applications for accreditation, course approval applications and correspondence.

RETENTION: Years: 5 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 3572

SERIES STATUS: Approved

APPROVAL DATE:

9/8/2010

TITLE: Continuing Education Waivers

CUTOFF: End of State Fiscal Year

DESCRIPTION: Requests for temporary and permanent continuing education waivers from licensees and the commission's responses.

RETENTION: Years: 0 Months: 0 Days: 30

NOTES: Records are transferred to license files, record series 3562.

DISPOSITION ACTION: Transfer to appropriate file

SERIES: 23278

SERIES STATUS: Approved

APPROVAL DATE:

9/8/2010

TITLE: Correction Notices

CUTOFF: End of State Fiscal Year

DESCRIPTION: Copies of correction notices sent to licensees when a license application/renewal application is incomplete.

RETENTION: Years: 3 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 23193

SERIES STATUS: Approved

APPROVAL DATE:

9/8/2010



Agency Records Disposition Schedule

Department: Department of Insurance, Financial Institutions and
Professional Registration
Division: Professional Registration

Section: Real Estate Commission
Sub-Section:

TITLE: Education Clearinghouse

CUTOFF: End of State Fiscal Year

DESCRIPTION: Class schedules for real estate courses or classes that are required to be provided by approved education providers.

RETENTION: Years: 3 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 23194

SERIES STATUS: Approved

APPROVAL DATE:

9/8/2010

TITLE: Examination Results

CUTOFF: End of Calendar Year

DESCRIPTION: Records include reports provided by real estate testing service, a listing of those who pass/fail exams and school statistics that allow the Missouri Real Estate Commission to monitor schools' pass/fail rates for possible disciplinary action.

RETENTION: Years: 5 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 3571

SERIES STATUS: Approved

APPROVAL DATE:

9/8/2010

TITLE: Examiner Weekly Activity Reports

CUTOFF: End of State Fiscal Year

DESCRIPTION: Weekly activity reports for real estate examiners and investigators to monitor work activity and scheduling.

RETENTION: Years: 3 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 23275

SERIES STATUS: Approved

APPROVAL DATE:

9/8/2010



Agency Records Disposition Schedule

Department: Department of Insurance, Financial Institutions and
Professional Registration
Division: Professional Registration

Section: Real Estate Commission
Sub-Section:

TITLE: General Office Fee Receipts

CUTOFF: End of State Fiscal Year

DESCRIPTION: Copies of Receipts provided to the public, by the Missouri Real Estate Commission, for records requests, such as document research and copying charges.

RETENTION: Years: 3 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 23276

SERIES STATUS: Approved

APPROVAL DATE: 9/8/2010

TITLE: Individual Requests for Continuing Education Credit

CUTOFF: End of state fiscal year in which education credit granted.

DESCRIPTION: Applications that are completed by licensees to request that continuing education credit be granted for non-preapproved courses.

RETENTION: Years: 0 Months: 0 Days: 30

NOTES: Records are transferred to license files, record series 3562.

DISPOSITION ACTION: Transfer to appropriate file

SERIES: 3568

SERIES STATUS: Approved

APPROVAL DATE: 9/8/2010

TITLE: Investigation Files

CUTOFF: End of State Fiscal Year

DESCRIPTION: Investigative reports conducted by the Commission staff in response to consumer complaints/Commission directives for possible disciplinary action.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 3573

SERIES STATUS: Approved

APPROVAL DATE: 9/8/2010



Agency Records Disposition Schedule

Department: Department of Insurance, Financial Institutions and
Professional Registration
Division: Professional Registration

Section: Real Estate Commission
Sub-Section:

TITLE: License Files		CUTOFF: EOSFY in which license application submitted	
DESCRIPTION: Records include, but are not limited to, licensing applications, education completion certificates, applications to change status and transfers to other brokers. These records are used for license verification.		RETENTION: Years: 75 Months: Days:	
NOTES: Records are stored electronically.		DISPOSITION ACTION: Destroy	
SERIES: 3562	SERIES STATUS: Approved	APPROVAL DATE:	9/8/2010
TITLE: License Renewal Applications		CUTOFF: EOSFY	
DESCRIPTION: Records contain completed license renewal applications, documentation concerning continuing education courses taken, questions pertaining to prior convictions and disciplinary information. These applications are submitted every two years Notes: Records are transferred to license files, record series 3562.		RETENTION: Years: 2 Months: 0 Days: 0	
NOTES:		DISPOSITION ACTION: Transfer to appropriate file	
SERIES: 3567	SERIES STATUS: Approved	APPROVAL DATE:	9/8/2010
TITLE: Pre-Exam School Files		CUTOFF: End of State Fiscal Year	
DESCRIPTION: Records include, but are not limited to, initial applications for accreditation, course approval applications and correspondence.		RETENTION: Years: 5 Months: 0 Days: 0	
NOTES:		DISPOSITION ACTION: Destroy	
SERIES: 3570	SERIES STATUS: Approved	APPROVAL DATE:	9/8/2010



Agency Records Disposition Schedule

Department: Department of Insurance, Financial Institutions and
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Section: Real Estate Commission
Sub-Section:

TITLE: Real Estate School Files

CUTOFF: End of State Fiscal Year

DESCRIPTION: Applications for approval of real estate schools and realated
correspondence pertaining to courses offered.

RETENTION: Years: 5 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 23280

SERIES STATUS: Approved

APPROVAL DATE:

9/8/2010

TITLE: Receipt Records for License Transactions Paid with Cash

CUTOFF: End of State Fiscal Year

DESCRIPTION: Receipts provided by Real Estate Commission to licensees who pay
application fees in cash.

RETENTION: Years: 3 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 23190

SERIES STATUS: Approved

APPROVAL DATE:

9/8/2010

TITLE: Records of Bad Checks Received from Licensees for Payment of License
Fees

CUTOFF: End of State Fiscal Year

DESCRIPTION: Contains Licensees' outstanding bad checks and replaced bad checks
that have been returned unpaid and checks that have been submitted to
the prosecuting attorney's office.

RETENTION: Years: 3 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 23143

SERIES STATUS: Approved

APPROVAL DATE:

9/8/2010



Agency Records Disposition Schedule

Department: Department of Insurance, Financial Institutions and
Professional Registration

Section: Real Estate Commission

Division: Professional Registration

Sub-Section:

TITLE: Refund Requests and Payment Records

CUTOFF: End of State Fiscal Year

DESCRIPTION: Records include license application fee refund requests from licensees
and refund documentation showing when refund was mailed and to whom.

RETENTION: Years: 3 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 23277

SERIES STATUS: Approved

APPROVAL DATE:

9/8/2010
